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<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	10/708,281
	Filing Date	2/22/2004
	First Named Inventor	Chistyakov
	Art Unit	Not Yet Assigned
	Examiner Name	Not Yet Assigned
(Not Including Cited Reference(s)) Total Number of Pages in This Submission	8	Attorney Docket Number ZON-016

ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
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<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Request for Refund	PTO Form 1449 (5 pgs.); Cited References (B1-B2, and C1-C37); and Return Receipt Postcard.
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Certified Copy of Priority Document(s)	Remarks	
<input type="checkbox"/> Response to Missing Parts/Incomplete Application		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		
<b>SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT</b>		
Firm or Individual name	Kurt Rauschenbach	
Signature		
Date	June 10, 2004	

CERTIFICATE OF TRANSMISSION/MAILING			
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
Typed or printed name	Kurt Rauschenbach		
Signature		Date	June 10, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PATENT  
Attorney Docket No. ZON-016

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Roman Chistyakov  
SERIAL NO.: 10/708,281 GROUP NO.: Not Yet Assigned  
FILING DATE: February 22, 2004 EXAMINER: Not Yet Assigned  
TITLE: METHODS AND APPARATUS FOR GENERATING HIGH-DENSITY PLASMAS WITH IONIZATIONAL INSTABILITIES

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. BOX 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with the provisions of 37 C.F.R. §1.97, Applicants hereby make of record the references listed on the accompanying Form PTO-1449 for consideration by the Examiner in connection with the examination of the above-identified patent application. Copies of the references are enclosed.

REMARKS

In accordance with the provisions of 37 C.F.R. §1.97, this statement is being filed (CHECK ONE):

- ☒ (1) within three (3) months of the **Filing Date** or before the mailing date of the **First Office Action** on the merits; or
- ☐ (2) after the period defined in (1) but before the mailing date of a **Final Rejection** or **Notice of Allowance**, and
- ☐ the requisite Statement is below, **OR**
- ☐ the requisite fee under Rule 1.17(p), namely **\$180.00**, is included herein, or
- ☐ (3) after the mailing date of a **Final Rejection** or **Notice of Allowance** but before the payment of the **Issue Fee**, **AND**
- ☐ Applicant hereby Petitions the Commissioner to accept and consider the attached Information Disclosure Statement, **AND**
- ☐ the requisite Statement is below, **AND**

☐ the requisite petition fee due under Rule 1.17(i)(I), namely **\$130.00** is included herein.

It is respectfully requested that each of the references shown on the attached Form PTO-1449 be made of record in this application.

### STATEMENT

As required under §1.97(e), Applicants, through the undersigned, hereby state either that [check the appropriate space]:

- ☐ 1. [E]ach item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application **not more than** three months prior to the filing date of the Information Disclosure Statement; or
- ☐ 2. [N]o item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any** individual designated in §1.56(c) **more than** three months prior to the filing of the Information Disclosure Statement.

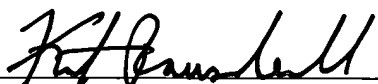
### FEE AUTHORIZATION

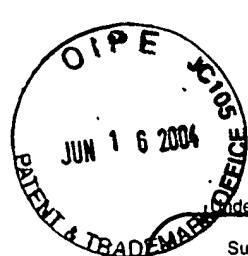
Should any fee associated with the submission of this paper not be attached hereto as a check, the Commissioner is authorized to charge the missing fee to our Deposit Account, No. 501211. Any overpayments should be credited to said Deposit Account.

Date: June 10, 2004  
Reg. No. 40,137

Tel. No.: (781) 271-1503  
Fax No.: (781) 271-1527

Respectfully submitted,

  
Kurt Rauschenbach  
Atty/Agent for Applicant(s)  
Rauschenbach Patent Law Group, LLC  
Post Office Box 387  
Bedford, MA 01730



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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

1

of

5

**Complete if Known**

Application Number	10/708,281
Filing Date	2/22/2004
First Named Inventor	Chistyakov
Art Unit	Not Yet Assigned
Examiner Name	Not Yet Assigned
Attorney Docket Number	ZON-016

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US-			
		US-			
		US-			
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**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
	B1	WO	98/40532	09/17/1998	Chemfilt R & D ....		
	B2	WO	02/103078 A1	12/27/2002	Chemfilt R & D ....		

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Substitute for form 1449B/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				<b>Complete if Known</b>	
				Application Number	10/708,281
				Filing Date	2/22/2004
				First Named Inventor	Chistyakov
				Art Unit	Not Yet Assigned
				Examiner Name	Not Yet Assigned
Sheet	2	of	5	Attorney Docket Number	ZON-016

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>	
	C1	KOUZNETSOV, et al., A Novel Pulsed Magnetron Sputter Technique Utilizing Very High Target Power Densities, Surface and Coatings Technology, 1999, Pgs. 290-293, Vol. 122, Elsevier.		
	C2	STEINBRUCHEL, A Simple Formula For Low-Energy Sputtering Yields, Applied Physics A., 1985, Pgs. 37-42, Vol. 36, Springer, Verlag.		
	C3	DAUGHERTY, et al., Attachment-Dominated Electron-Beam-Ionized Discharges, Applied Physics Letters, May 15, 1976, Pgs. 581-583, Vol. 28, No. 10, American Institute of Physics.		
	C4	FAJANS, et al., Bifurcations In Elliptical, Asymmetric Non-Neutral Plasmas, Physics of Plasmas, October 2000, Pgs. 3929-3933, Vol. 7, No. 10, American Institute of Physics.		
	C5	DEKOVEN, et al., Carbon Thin Film Deposition Using High Power Pulsed Magnetron Sputtering, 46th Annual Technical Conference Proceedings, 2003, Pgs. 158-165, Society of Vacuum Coaters.		
	C6	CHOUERI, Characterization Of Oscillations In Closed Drift Thrusters, Pgs. 1-19.		
	C7	STARK, et al., Electron Heating In Atmospheric Pressure Glow Discharges, Journal of Applied Physics, April 2001, Pg. 3568, Vol. 89, No. 7, American Institute of Physics.		
	C8	GUDMUNDSSON, et al., Evolution Of The Electron Energy Distribution And Plasma Parameters In A Pulsed Magnetron Discharge, Applied Physics Letters, May 28, 2001, Pgs. 3427-3429, American Institute of Physics		
	C9	TIAN, et al., Experimental Investigation Of The Electrical Characteristics And Initiation Dynamics Of Pulsed High-Voltage Glow Discharge, Journal of Physics D: Applied Physics, Vol. 34, Pgs. 354-359, IOP Publishing Ltd, UK.		
	C10	MOZGRIN, et al., High-Current Low-Pressure Quasi -Stationary Discharge In A Magnetic Field: Experimental Research, Plasma Physics Reports, 1995, Vol. 21, No. 5, Pgs. 400-409, Interperiodica Publishing		

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Sheet	3	of	5	Attorney Docket Number	ZON-016

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	C11	GARRIGUES, et al., Hybrid And Particle-In-Cell Models Of A Stationary Plasma Thruster, Plasma Sources Sci. Technol., 2000, Pgs. 219-226, Vol. 9, IOP Publishing Ltd., UK.		
	C12	KUDRYAVTSEV, et al., Ionization Relaxation In A Plasma Produced By A Pulsed Inert-Gas Discharge, Sov. Phys. Tech. Phys., January 1983, Pgs. 30-35, Vol. 28, No. 1, American Institute of Physics.		
	C13	BIBERMAN, et al., Low-Temperature Plasmas With Nonequilibrium Ionization, Sov. Phys. Usp., June 1979, Pgs. 411-432, Vol. 22, No. 6.		
	C14	THORNTON, Magnetron Sputtering: Basic Physics And Application To Cylindrical Magnetrons, J. Vac. Sci. Technol. March/April 1978, Pgs. 171-177, Vol. 15, No. 2.		
	C15	HART, et al., Measuring The Growth Of Solitons From Normal Modes, [online]. Nonneutral Plasmas, South Hall Convention Center, November 19, Year unknown.		
	C16	HELMERSSON, Metallization By Pulsed High-Power Sputtering, [online]. [retrieved on November 21, 2003]. Retrieved from WWW.inf.liu.se/thinprogram/projects/p2.html.		
	C17	PISAREV, Modification Of The Surface Of Perforated Polymer MF-4SK In Low-Pressure, High Current Quasi-Stable Discharge Plasma In Magnetic Field, [online]. [retrieved on December 30, 2003]. Retrieved from WWW.tech.dh.ru/lstc/dh/nra.nsf/we/0624.		
	C18	GUDMUNDSSON, et al., Observation Of Ion-Acoustic Solitons In A Pulsed Magnetron Sputtering Discharge, 56th-Gaseous Electronics Conference-2003, October 24, 2003, Pgs. 1-14.		
	C19	MATOSSIAN, et al., Operating Characteristics Of A 100kV, 100kW Plasma Ion Implantation Facility, Surface Coatings & Technology, 1996, Pgs. 92-97, Vol. 85.		
	C20	FAJANS, et al., Second Harmonic Autoresonant Control Of The l=1 Diocotron Mode In Pure-Electron Plasmas, Physical Review E, September 2000, Pgs. 4131-4136, Vol. 62, No. 3.		

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

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Application Number	10/708,281
Filing Date	2/22/2004
First Named Inventor	Roman Chistyakov
Art Unit	Not Yet Assigned
Examiner Name	Not Yet Assigned
Attorney Docket Number	ZON-016

Sheet 4 of 5

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	C21	J.T. GUDMUNDSSON, et al., Spatial And Temporal Behavior Of The Plasma Parameters In A Pulsed Magnetron Discharge, Surface & Coatings Technology, 2002, Pgs. 249-256, Vol. 161, Elsevier Science	
	C22	BIBERMAN, et al., Chapter Eight: Transient Nonequilibrium Plasmas, Kinetics Of Nonequilibrium Low Temperature Plasmas, 1987, Pgs. 321, 360-372, Plenum Publishing Corporation, New York, U.S.A.	
	C23	GUDMUNDSSON, et al., Observation Of Solitons In A Pulsed Magnetron Sputtering Discharge [online]. [retrieved on December 8, 2003]. Retrieved from <a href="http://WWW.ens.org/ans/meet/GFC03/hans/ahs/s300.html">WWW.ens.org/ans/meet/GFC03/hans/ahs/s300.html</a>	
	C24	The State Of The Art In Pulsed High Power [online]. [retrieved on July 15, 2002]. Retrieved from <a href="http://WWW.physiqueindustrie.com/_pulse_power.html">WWW.physiqueindustrie.com/_pulse_power.html</a>	
	C25	Encyclopedia Of Low Temperature Plasma, Editor V.E. Fortov, 2000, Volume 3, Pg. 123.	✓
	C26	Encyclopedia Of Low Temperature Plasma, Editor V.E. Fortov, 2000, Volume 3, Pg. 119.	✓
	C27	CHISTYAKOV, Roman, High Power Pulsed Magnetron Sputtering, Application No: 10/065,277, Filed: September 30, 2002.	
	C28	CHISTYAKOV, Roman, Method And Apparatus For Generating High-Density Plasma, Application No: 10/065,629, Filed: November 4, 2002.	
	C29	CHISTYAKOV, Roman, High Deposition Rate Sputtering, Application No: 10/065,739, Filed: November 14, 2002.	
	C30	CHISTYAKOV, Roman, High-Power Pulsed Magnetically Enhanced Plasma Processing, Application No: 10/065,551, Filed: October 29, 2002.	

Examiner  
SignatureDate  
Considered

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	C31	CHISTYAKOV, Roman, High-Density Plasma Source, Application No: 10/249,595, Filed: April 22, 2003.		
	C32	CHISTYAKOV, Roman, High-Density Plasma Source Using Excited Atoms, Application No: 10/249,844, Filed: May 122, 2003.		
	C33	CHISTYAKOV, Roman, Generation Of Uniformly Distributed Plasma, Application No: 10/249,773, Filed: May 6, 2003.		
	C34	CHISTYAKOV, Roman, Plasma Generation Using Multi-Step Ionization, Application No: 10/249,202, Filed: March 21, 2003.		
	C35	CHISTYAKOV, Roman, Plasma Source With Segmented Cathode, Application No: 60/481,671, Filed: November 19, 2003.		
	C36	HART, et al., Growth Of Soliton-like Structures From Normal Modes And Particle Loss From A Nonneutral Plasma, [online]. Non-Neutral Plasmas, Archibald/Cochran, 3rd Floor, Tower, November 7, 1995.		
	C37	HART, et al., Verification Of Solitons Grown From Normal Modes, [online]. Dusty Plasmas And Nonneutral Plasmas I, Imperial Ballroom, Fairmont, November 16, Year unknown.		

Examiner Signature		Date Considered	
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